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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. P971853CON

First Inventor or Application Identifier Paulman

Title Folded, Bent and Re-Expanded Heat Exchanger Tube and Assemblies

Express Mail Label No. EF366674258US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning design patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 20]  
*(preferred arrangement set forth below)*
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C.113) [Total Sheets 6 ]
- Oath or Declaration [Total Pages 2 ]
  - Newly executed (original or copy)
  - Copy from a prior application (37 CFR 1.63 (d))  
*(for a continuation/divisional with Box 17 completed)*
  - DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
- Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
  - Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - CD-ROM or CD-R (2 copies); or
    - paper
  - Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

- Assignment Papers (cover sheet & document(s))
- 37 C.F.R. §3.73(b)Statement  Power of Attorney (*when there is an assignee*)
- English Translation Document (*if applicable*)
- Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
- Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
- Other: Supplemental Information Disclosure Statement; Associate Power of Attorney or Agent

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)of prior application Nos: 09/226,908; 08/798,615;  
08/572,180; 60/006,655

Prior application information: Examiner Atkinson, C.

Group / Art Unit: 3743

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS** Customer Number or Bar Code Label

(Insert Customer Number or Bar Code Label here)

 Correspondence address below

Name					
	08968				
Address	PATENT TRADEMARK OFFICE				
City		State		Zip Code	
Country		Telephone		Fax	

Name (Print/Type)	Michael R. Osterhoff	Registration No. (Attorney/Agent)	46,973
Signature			
	Date	July 30, 2001	

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# FEE TRANSMITTAL for FY 2001

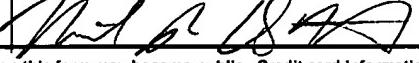
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 355)

Complete If Known	
Application Number	
Filing Date	July 30, 2001
First Named Inventor	Paulman
Examiner Name	
Group / Art Unit	

Attorney Docket No. P971853CON

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																							
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number <input type="text" value="07-0181"/></p> <p>Deposit Account Name <input type="text" value="Gardner, Carton &amp; Douglas"/></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p><b>3. ADDITIONAL FEES</b></p> <table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive – unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive – unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td colspan="2">SUBTOTAL (3) (\$ 0)</td></tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - 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SUBMITTED BY			Complete (if applicable)		
Name (Print/Type)	Michael R. Osterhoff	Registration No. Attorney/Agent)	46,973	Telephone	312-644-3000
Signature				Date	July 30, 2001

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**EXPRESS MAILING CERTIFICATE  
UNDER 37 C.F.R. § 1.10**

EL749338861US  
"Express Mail" Mailing Number

July 30, 2001  
Date of Deposit

I hereby certify that a Utility Patent Application Transmittal (1 page); a Fee Transmittal in duplicate; a copy of Declaration and Power of Attorney (2 pages); a Specification, claims and abstract of the application (20 pages); Drawings (6 pages); a copy of the Information Disclosure Statement/PTO-1449 (4 pages); a copy of the Supplemental Information Disclosure Statement (3 pages); copy of Recordation Form Cover Sheet with copy of an Assignment of Rights of Invention (2 pages); Associate Power of Attorney (1 page); a check for \$355.00; and a return receipt postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above, addressed to:

Assistant Commissioner for Patents  
Box: Patent Application  
Washington, DC 20231

For: FOLDED, BENT AND RE-EXPANDED HEAT EXCHANGER TUBE ASSEMBLIES

Inventor: Paulman

Brigid Powers  
(Typed or Printed Name of  
Person Mailing Application)

Brigid Powers  
(Signature of Person  
Mailing Application)

Docket: P971853CON  
MRO  
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CH02/22139501.1